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PATENT  
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*[Signature]*

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Altomare et al.                      Art Unit : 3624  
Serial No. : 09/397,704                      Examiner : Geoffrey R. Akers  
Filed : September 16, 1999  
Title : SYSTEM AND METHOD FOR ADMINISTERING PRINCIPAL PROTECTED  
EQUITY LINKED FINANCIAL INSTRUMENTS

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box: 1450  
Alexandria, VA 22313-1450

**RESPONSE AND AMENDMENT**

This communication is in reply to the non-final Office action mailed September 22, 2004.

**A. INTRODUCTORY COMMENTS**

Reconsideration and allowance are requested in view of the following amendments and remarks. Upon entry of this Amendment, claims 1, 4, 6-8, 10-12, 14, 15, 25, 28-36, and 38-44 will be pending in this application with claims 1, 11, 25 and 28 being independent claims. Claim 9 has been canceled without prejudice or disclaimer. Support for the claims is found throughout the specification. No new matter has been added.